



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: HONG-HWA CHEN, et al.

Serial No.: 10/690,246

Group No.

Filed: October 21, 2003

Examiner:

For: GENES FOR CONTROLLING FLORAL DEVELOPMENT IN ORCHID

Attorney Docket No.: U 014863-8

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

We draw the attention of the Examiner to the attached references which are considered in the specification and which are also listed on the attached Form PTO-1449.

Respectfully submitted,

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NEW YORK, NEW YORK 10023  
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**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***  
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"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

FORM PTO-1449

U. S DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

U 014863-8

10/690,246

APPLICANT

HONG-HWA CHEN ET AL.

FILING DATE

GROUP

10/21/2003

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA				

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
	AB				

OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

	AC	Weigel, Detlef and Elliot M. Meyerowitz. "The ABCs of Floral Homeotic Genes." <i>Cell</i> (1994) 78: 203-209
	AD	Theissen G. et al. "A short history of MADS-box genes in plants." <i>Plant Molecular Biology</i> (2000) 42:115-149
	AE	Theissen G. et al. "Classification and Phylogeny of the MADS-Box Multigene Family Suggest Defined Roles of the MADS-Box Gene Subfamilies in the Morphological Evolution of Eukaryotes." <i>J. Mol. Evol.</i> (1996) 43: 484-516
	AF	Moon Y.-H. et al. "Identification of a rice <i>APETALA3</i> homologue by yeast two-hybrid screening." <i>Plant Molecular Biology</i> (1999) 40: 167-177
	AG	Ambrose, B.A. et al. "Molecular and Genetic Analyses of the <i>Silky1</i> Gene Reveal Conservation in Floral Organ Specification between Eudicots and Monocots." <i>Molecular Cell</i> (2000) 5: 569-579
	AH	Münster, T. et al. "Characterization of three <i>GLOBOSA</i> -like MADS-box genes from maize: evidence for ancient paralogy in one class of floral homeotic B-function gene of grasses." <i>Gene</i> (2001) 262: 1-13
	AI	Becker, A. et al. "MADS-Box Gene Diversity in Seed Plants 300 Million Years Ago." <i>Mol. Biol. Evol.</i> (2000) 17(10): 1425-1434
	AJ	O'Neill, S.D. et al. "Interorgan Regulation of Ethylene Biosynthetic Genes by Pollination." <i>The Plant Cell</i> (1993) 5: 419-432
	AK	Altschul, S.F. et al. "Gapped BLAST and PSI-BLAST: a new generation of protein database search programs." <i>Nucleic Acids Research</i> (1997) 25(17): 3389-3402
	AL	Purugganan, M.D. et al. "Molecular Evolution of Flower Development: Diversification of the Plant MADS-Box Regulatory Gene Family." <i>Genetics</i> (1995) 140: 345-356
	AM	Carlson, J.E. et al. "Segregation of random amplified DNA markers in F <sub>1</sub> progeny of conifers." <i>Theor. Appl. Genet.</i> (1991) 83: 194-200

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Applicant's Docket No.

U 014863-8

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Patent application  
of

Inventor(s)

for

Title of invention

**OR**

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))**

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is **mandatory**;  
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I hereby certify that, on the date shown below, this correspondence is being:

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**37 C.F.R. 1.10\***

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**TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: January 23, 2004

Signature  
CLIFFORD J. MASS  
(type or print name of person certifying)

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

NOTE: 37 C.F.R. 1.98(b):

- (1) *Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.*
- (2) *Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.*
- (3) *Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.*
- (4) *Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.*
- (5) *Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.*

**WARNING:** *No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).*

NOTE: *The "filing date of a national application" under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark office, the filing is defined in 37 C.F.R. 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).*

## **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

NOTE: *"No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."*

NOTE: *"An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

NOTE: *"The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).

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\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

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CLIFFORD J. MASS

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